

STATEWIDE INFORMATION SYSTEMS PROCEDURE

Establishing And Implementing Statewide Information Technology Policies And Standards

Approved

Office of the Chief Information Officer

Department of Administration
Information Technology Services Division
PO Box 200113
Helena, MT 59620-0113
Tel: (406) 444-2700
FAX: (406) 444-2701

July 24, 2006



Brian Schweitzer
Governor

State of Montana

DEPARTMENT OF ADMINISTRATION
Janet R. Kelly, Director

CHIEF INFORMATION OFFICER
Richard B. Clark

**APPROVED STATEWIDE PROCEDURE: ESTABLISHING AND IMPLEMENTING STATEWIDE
INFORMATION TECHNOLOGY POLICIES AND STANDARDS**

EFFECTIVE DATE: JULY 24, 2006

APPROVED: JULY 24, 2006

I. Purpose

The Montana Information Technology Act (MITA) assigns the responsibility of establishing and enforcing statewide IT policies and standards to the Department of Administration (DOA). This **Statewide Procedure: Establishing And Implementing Statewide Information Technology Policies And Standards Procedure** (Procedure) defines the steps necessary to establish and implement statewide IT policies and standards.

II. Authority

Pursuant to the Montana Information Technology Act (MITA) (Title 2, Chapter 17, Part 5 of the Montana Code Annotated (MCA), it is the policy of the state that information technology be used to improve the quality of life of Montana citizens, and that such improvement is to be realized by protecting individual privacy and the privacy of the information contained within the state's information technology systems. [§2-17-505\(1\), MCA](#).

It is also the policy of the state that the development of information technology resources be conducted in an organized, deliberative, and cost-effective manner, which necessitates the development of statewide information technology policies, standards, procedures, and guidelines applicable to all state agencies and others using the state network. It is also anticipated that State information technology systems will be developed in cooperation with the federal government and local governments with the objective of providing seamless access to information and services to the greatest degree possible. [§2-17-505\(2\), MCA](#).

III. Applicability

This Procedure is applicable to agencies, staff and all others, including outsourced third-parties (such as contractors, or other service providers), who have access to, or use or manage information assets subject to the policy and standard provisions of [§2-17-534, MCA](#). This Procedure shall be communicated to staff and others who have access to or manage information, and information systems and assets.

IV. Scope

This Procedure encompasses information and information systems for which agencies have administrative responsibility, including information and systems managed or hosted by third-parties on agencies' behalf.

V. Definition(s)

Subject matter experts (SMEs)	Subject matter experts are stakeholders recruited to assist in the development of statewide IT policies and standards. They are responsible for researching and contributing content and advice to policy and standard development.
Reviewers	<p>The Information Technology Board, the Legislative Finance Committee, the Governor's Office through the Office of Budget and Program Planning, advisory groups and state agencies are responsible for reviewing policy and standards and advising the Chief Information Officer (CIO) on policy and standards issues. Advisory groups include but are not limited to:</p> <ul style="list-style-type: none">• eGovernment Advisory Council• 9-1-1 Advisory Council• Montana Land Information Advisory Council• Statewide Interoperability Executive Council• Information Technology Managers' Council
Development Team	Persons assigned to develop a policy, standard, procedure or guideline.
Policy Manager	The Policy Manager is responsible to ensure each statewide IT policy and standard is properly developed, reviewed and implemented. The Policy Manager will also be the contact for any questions or change requests regarding the policy.
Interim	Interim means a policy, standard, procedure, guideline, etc. that has been developed, reviewed and implemented using an abbreviated version of the Enabling IT Procedure due to urgent business or technical requirements. An interim document may not meet all requirements and therefore the scheduled review date will typically be less than twelve months from effective date.

Refer to the [Statewide Information Technology Policies and Standards Glossary](#) for a list of local definitions.

VI. IT Policy and Standards Procedure

Section III.A. (below) explains the process that is followed when a situation arises that requires a policy to be effective immediately.

Sections III.B. through III.E. explain the normal process for establishing and implementing policies and standards. Figure 1 illustrates the steps in the process. There are four phases: Development; Review; Implementation and Notification; and Maintenance and Monitoring. The details of each phase follow.

A. Interim Policies or Standards

The CIO shall designate and approve interim policies or standards where business and technical needs do not allow time and resources to perform all activities of the Development and Review Phases.

Some activities may be curtailed or skipped, including but not limited to stakeholder analysis, risk analysis, research, cross-agency participation, and full review. The Policy Manager working with the CIO will determine the specific activities and extent of review for each interim policy or standard based upon urgency, risk and other business requirements.

These policies and standards shall be labeled “interim,” and shall be returned for consideration and review within twelve months of the Effective Date.

All activities of the Implementation and Notification and Maintenance and Monitoring Phases are completed for interim policies and standards.

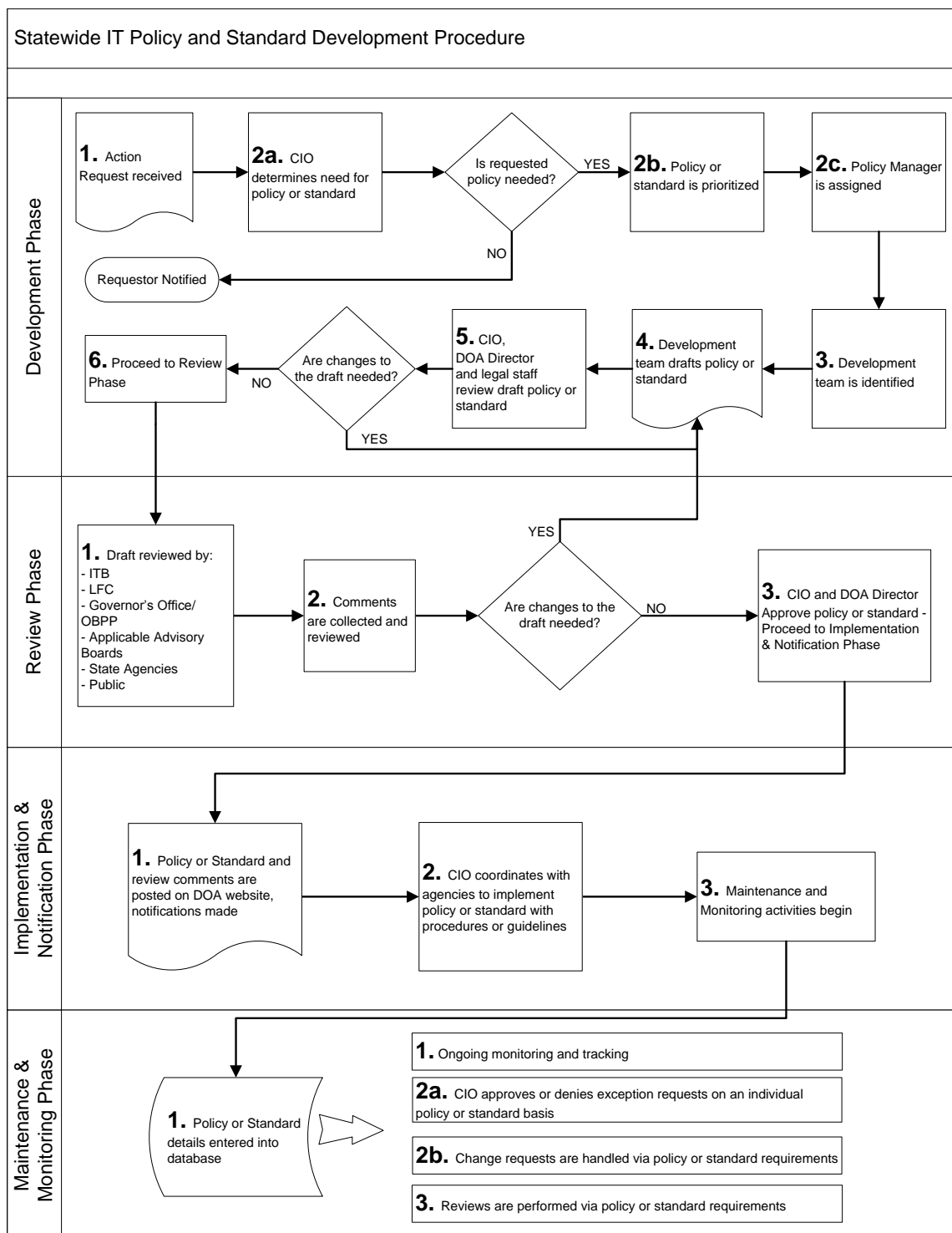
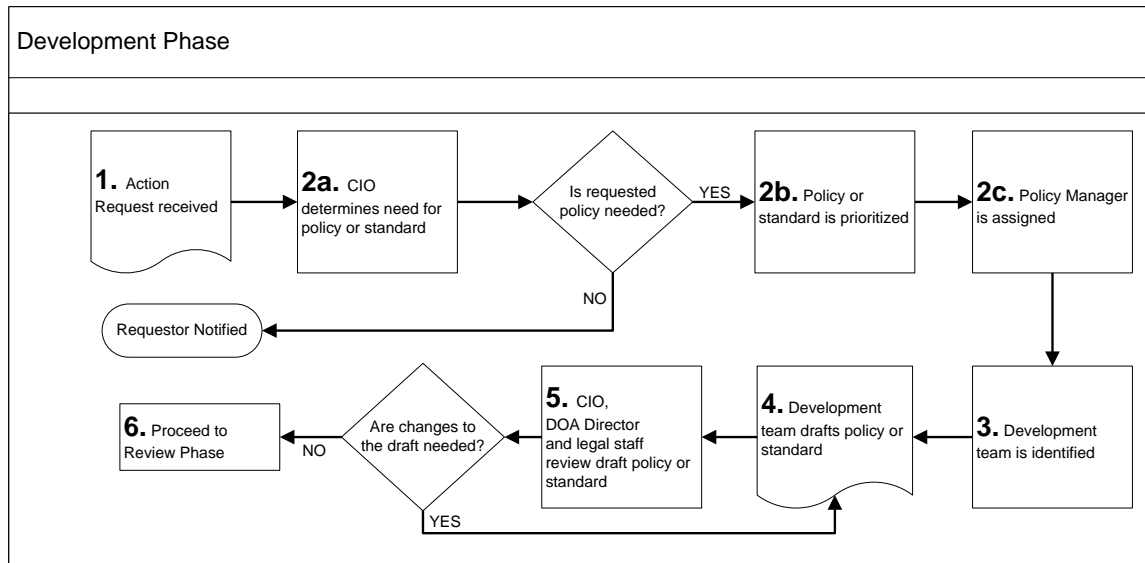


Figure 1 – Statewide IT Policy and Standard Development Procedure

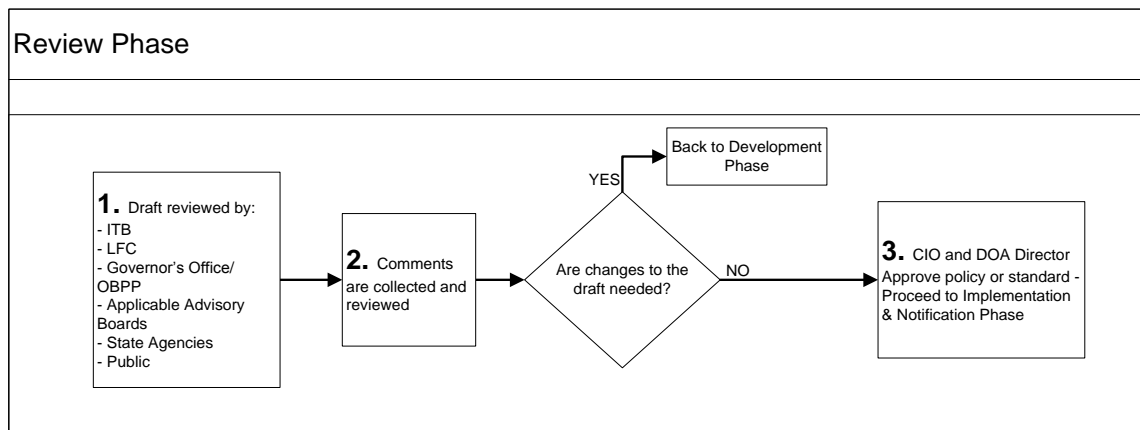
B. Development Phase



The full Development Phase activities are:

1. Individual agencies or affected entities complete and submit the [Action Request](#) form to the CIO at [ITSD Service Desk](#)
2. The CIO:
 - a. Reviews the request and determines if a policy or standard is needed based on statutory requirements, business needs and the [State of Montana Information Technology Strategic Plan](#)
 - b. Assigns a high, medium or low priority based on the [Enterprise IT Management Audit](#) and statutory requirements
 - c. Assigns the Policy Manager who is responsible for the development, review and implementation of the policy or standard
3. Policy Manager identifies Development Team members and subject matter experts (SMEs) to assist in development of the draft policy or standard
4. Development Team develops draft policy or standard
5. CIO, Department of Administration (DOA) director and legal staff review draft policy or standard
6. Draft policy or standard proceeds to Review Phase or is returned to the Development Team for further work

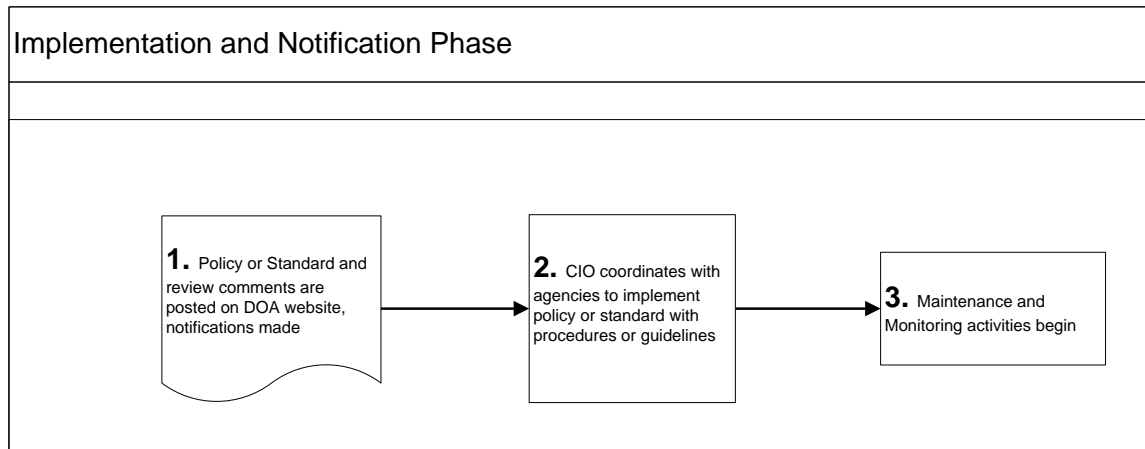
C. Review Phase



The full Review Phase activities are:

1. Draft policy or standard is reviewed by:
 - Information Technology Board (ITB)
 - Legislative Finance Committee (LFC)
 - Governor's Office/Office of Budget and Program Planning (OBPP)
 - Applicable advisory boards
 - State agencies
 - Public
2. CIO collects comments for CIO and Director review
3. CIO and DOA Director (a) approve the draft policy or standard and it moves forward to Implementation and Notification Phase, and it is no longer draft; or (b) it returns to the Development Team for further work.

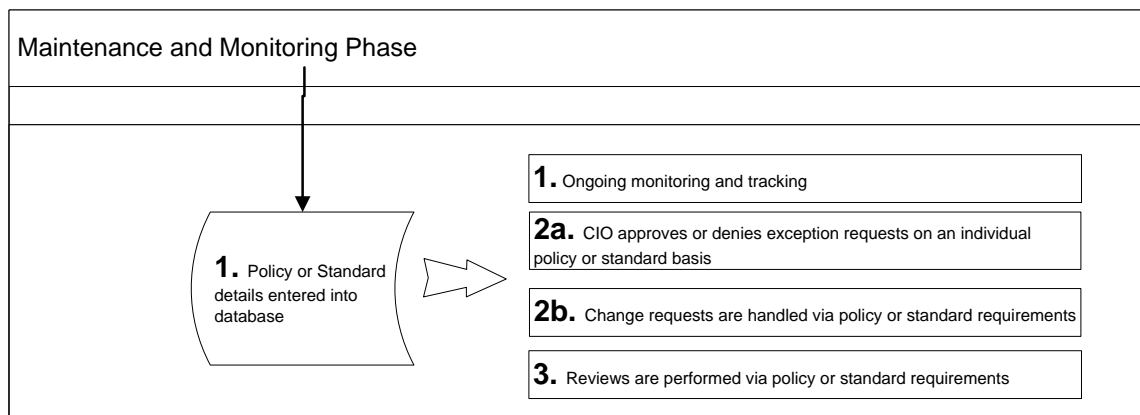
D. Implementation and Notification Phase



The Implementation and Notification Phase activities are:

1. Policy or standard and review comments are posted to the [Enterprise Information Systems Policy Instruments website](#). Legislative Audit Committee (LAC), Legislative Finance Committee (LFC), agencies and affected entities are notified
 2. Policy or standard implementation is coordinated with the development of procedures or guidelines
 3. Policy or standard proceeds to the Maintenance and Monitoring Phase
-

E. Maintenance and Monitoring Phase



The Maintenance and Monitoring Phase activities are:

1. CIO staff collects policy or standard management information provided by the agencies, enters the information into a data base, and monitors the data base to determine policy or standard effectiveness and compliance
2. Requests for exception or changes may occur during this phase, and each request is processed as described below:

1. Exception Requests

Department heads may request an exception from a policy or standard by completing and submitting an [Exception Request](#) form to the CIO at [ITSD Service Desk](#).

The CIO may grant exceptions to a statewide IT policy or standard if it is determined to be in the best interest of the state. The CIO may consult with technical experts to determine the merits of the request. The CIO may specify exception conditions including a time limit for the exception or a scheduled review date.

The CIO shall maintain written documentation and inform the Information Technology Board, the Office of Budget and Program Planning, and the Legislative Finance Committee of all exception requests (approved and denied) and action taken.

F. Change Requests

Material changes to statewide IT policies or standards may be initiated by:

- a scheduled review,
- an event such as a statutory change or,
- an [Action Request](#).

The following steps will be taken to manage changes:

- An [Action Request](#) form describing the change will be completed by the person requesting the change and submitted to the CIO at [ITSD Service Desk](#)
- The CIO will evaluate the requested change to determine its merit, and approve or deny the change
 - If the change is denied, the requestor will be notified
 - If the change is approved, the policy or standard will be prioritized and scheduled for return to the Development Phase
- The requestor will be updated while these steps are in progress

Non-material changes will be scheduled with a lower priority and implemented by the CIO staff.

3. CIO staff performs policy and standard reviews according to the scheduled review date

VII. Enforcement

Policy and standard enforcement will be defined in each policy, standard or procedure.

VIII. Change Control and Exceptions

Procedure changes or exceptions are governed by the [Procedure for Establishing and Implementing Statewide Information Technology Policies and Standards](#). Requests for a review or change to this instrument are made by submitting an [Action Request](#) form (at http://itsd.mt.gov/content/policy/policies/administration/action_request.doc). Requests for exceptions are made by submitting an [Exception Request](#) form (at http://itsd.mt.gov/content/policy/policies/administration/exception_request.doc). Changes to policies and standards will be prioritized and acted upon based on impact and need.

IX. Closing

Direct questions or comments about this instrument to the State of Montana Chief Information Officer at [ITSD Service Desk](mailto:ITSD@mt.gov) (at <http://servicedesk.mt.gov/ess.do>), or:

PO Box 200113
Helena, MT 59620-0113
(406) 444-2700
FAX: (406) 444-2701

X. References

A. Legislation

- [§2-17-505\(1\), MCA](#) et seq. - Policy
- [§2-17-506\(3\), MCA](#) – CIO Definition
- [§2-17-511, MCA](#) – CIO Duties
- [§2-17-512\(1\)\(b\), MCA](#) – coordinate and approve
- [§2-17-512\(1\)\(e\), MCA](#) – policies and standards
- [§2-17-512\(1\)\(w\), MCA](#) - implement
- [§2-17-512\(3\), MCA](#) – appoint CIO
- [§5-17-513\(3\)\(a\) and \(e\), MCA](#) – Information Technology Board
- [§2-17-514\(1\), MCA](#) – enforcement
- [§5-1-205\(4\), MCA](#) – Legislative Finance Committee

B. Policies, Directives, Regulations, Rules, Procedures, Memoranda

- [Statewide Procedure: Establishing and Implementing Statewide Information Technology Policies and Standards](#)
- [Enterprise IT Management Audit](#) Recommendation #1
- [Enterprise IT Management Audit](#) Recommendation #3A (Response A)
- [Enterprise IT Management Audit](#) Recommendation #3B (Response B)

C. Standards, Guidelines

XI. Administrative Use

Product ID: PROC-20060701p
Proponent: Chief Information Officer
Publisher: Office of the Chief Information Officer
Published Date: July 24, 2006
Version Date: 6/3/2010
Custodian: Policy Manager
Approved Date: July 24, 2006
Effective Date: July 24, 2006
RIM Class: Record
Disposition Instructions: Retain for Record
Change & Review: [ITSD Service Desk](http://servicedesk.mt.gov/ess.do) (at <http://servicedesk.mt.gov/ess.do>)
Contact:
Review: Event Review: Any event affecting this instrument may initiate a review. Such events may include a change in statute, key staff changes or a request for review or change.
Scheduled Review Date: April 13, 2014
Last Review/Revision: April 13, 2009
Changes: September 5, 2008: Non-material changes –

- Corrected URLs
- Corrected contact information
- Added document control field codes

April 13, 2009 – Non-material changes made:

- Corrected broken URLs
- Applied new document layout.

June 3, 2010 – Corrected URLs.
